

2002 ANNUAL ETHICS TRAINING

Insert Name of your Office

Insert Names of your
Ethics Counselor

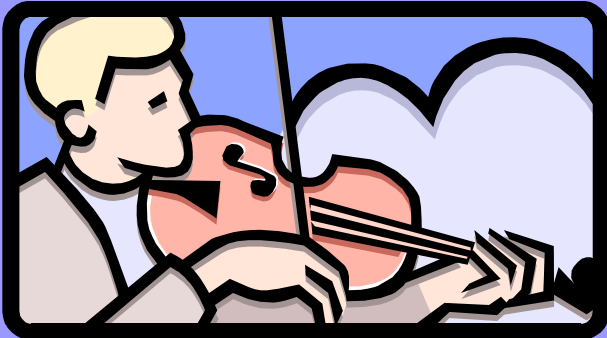
Insert Physical & E-
mail Addresses,
Phone and Fax
Numbers of your
Ethics Counselors

Dealings with Non-Federal Entities



Non-Federal Entities

- Charities
- Nonprofit Groups
- Professional Societies or Associations
- Educational Institutions
- Civic Organizations



4 Basic Principles



- No preferential treatment
- Don't misuse public office for private gain
- Government resources only for authorized purposes
- Avoid conflicts between personal interests and your official duties

WHAT WE WILL COVER

- Part I - Effects of rules on your official duties
- Part II - Effects of rules on your personal activities



Part I – Your Official Duties

Official Endorsements

- Action taken, as part of your Government duties, to encourage others to support a non-Federal entity
- Official endorsements prohibited (generally)



QUESTION



- Local Chapter of USO, a private organization, asks you for a memo of support on government letterhead. May you do that?

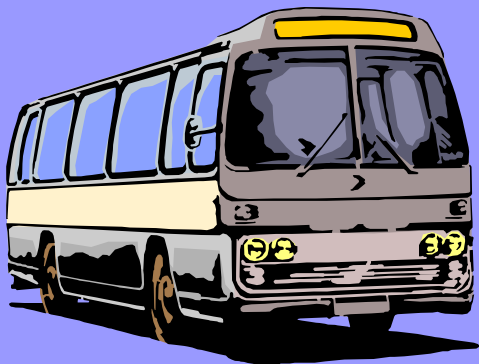
Exceptions – You may officially endorse:

- Designated Military Relief Societies
- Combined Federal Campaign (CFC)
- Emergency and Disaster Appeals
Approved by OPM
- Certain organizations benefiting DoD employees or their dependents if approved by DoD commanders

Part I – Your Official Duties

Logistical Support

- Personnel to express DoD policies at non-Federal entity events
- Limited use of DoD facilities and equipment for non-Federal entity events



Logistical Support (Cont.)

- Several criteria must be met
- 2 especially important ones
 - The support serves DoD public affairs or military training interests
 - DoD is willing and able to provide same support to comparable events of other non-Federal entities



Example

Even if it would serve DoD public affairs interests to let a local civic organization use the base auditorium, you may not authorize that use if you are not willing and able to let other similar local civic organizations use the auditorium for comparable events



Logistical Support (Cont.)

- Remember, we only discussed two especially important criteria.
- If you want to provide DoD logistical support, ask your ethics counselor in advance.
- Special rules for supporting charitable fundraising events.



Part I – Your Official Duties

Co-sponsorship

- DoD co-sponsors an event if it is one of organizations that develops the event or provides substantial logistical support for it.
- EXAMPLE: Your command joins Retired Officers Association to produce a retirement seminar.

Co-sponsorship (Cont.)

- Generally prohibited
- Exception: co-sponsor certain civic or community activities
- Consult your ethics council
- Alternative to co-sponsorship: contract for services.



Part I – Your Official Duties Management

General rule: You may not participate in managing a non-Federal entity as part of your official duties.

QUESTION



Association of Military Comptrollers asks you to join board of directors as a DoD rep. You would be managing the association's affairs. May you accept?

Management (Cont.)

- The law has a few exceptions.
- Contact your ethics counselor if you need specifics.

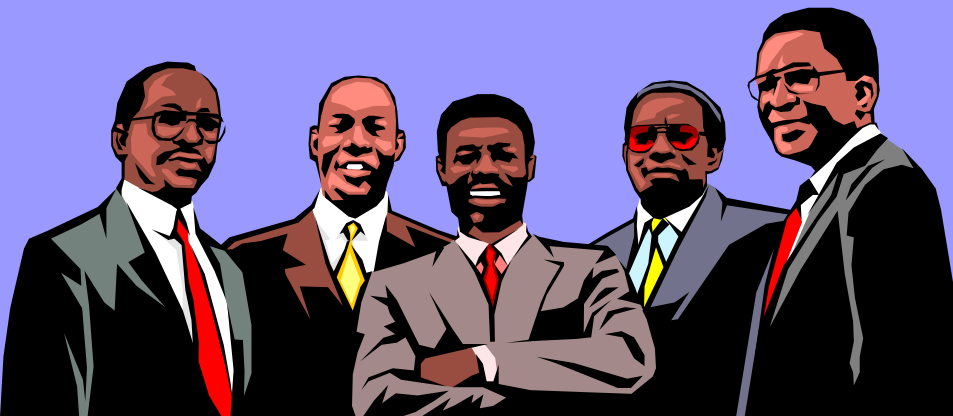


Part I – Your Official Duties

Liaison

- Head of your DoD organization may appoint you as liaison to non-Federal entity if significant and continuing DoD interest.
- You represent DoD, but your opinions do not bind DoD.
- You may not participate in managing the non-Federal entity.

Part II – Your Personal Activities



Part II – Your Personal Activities

Endorsements

- General rule: You may not use your Government authority to endorse a non-Federal entity in your personal activities.
- EXAMPLE: You may not use your DoD signature block to sign correspondence as president of your condo association.

Part II – Your Personal Activities

Government Resources

General rule: You may not use for personal purposes.



Exceptions

Supervisor may authorize:

- Reasonable excused absences for community support activities and public service
- Limited use of Government equipment and administrative support to prepare professional paper



Part II – Your Personal Activities Fundraising

- You may participate when outside scope of your Government duties
- May not:
 - Raise funds in Federal workplace.
 - Solicit from subordinates or “prohibited sources”.
 - Use your official authority to endorse personal fundraising.

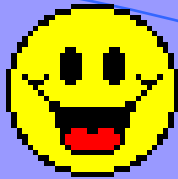


Part II – Your Personal Activities

Conflicts of Interest

- Personal affiliations with non-Federal entities could conflict with your official duties.
- Before you do Government work on a particular matter that could affect a non-Federal entity to which you or a member of your family or household have personal or financial ties, check with your ethics counselor.





QUESTION

You are the president of the local chapter of the Navy League. It has asked to use a DoD building for a meeting. A DoD public affairs officer has asked for your recommendation on whether to grant the request. May you provide the record?



Part II – Your Personal Activities Representation

- General rule: You may not represent a non-Federal entity to the Government.
- Exception: uncompensated representation for certain nonprofit professional, recreational, and similar organizations.
- Consult your ethics counselor first.



QUESTION

Your neighborhood association has a dispute with the Internal Revenue Service (IRS). May you write the IRS to influence them as the representative of the association?



Part II – Your Personal Activities

Teaching, Speaking, and Writing

Rules are complex. We will touch on the most important ones.



Teaching, Speaking, and Writing (Cont.)

- You may not accept compensation for personal teaching, speaking, or writing if any of the 4 following is true:

1.

You were invited primarily because of your position rather than your subject matter



Teaching, Speaking, and Writing (Cont.)

2.

The invitation or offer of compensation was made to you by someone with interests that may be affected by the performance of your official duties.



Teaching, Speaking, and Writing (Cont.)

3.

Your presentation draws on nonpublic Government information.



Teaching, Speaking, and Writing (Cont.)

4.

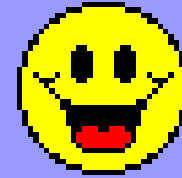
Your presentation deals with an ongoing or announced DoD policy, program, or operation, or with any matter to which you have been assigned during the last 1-year period.

Teaching, Speaking, and Writing (Cont.)

If you are a Senate-confirmed civilian appointee or a noncareer SES member, more stringent rules apply. Your ethics counselor has the details.



QUESTION



6 months ago as part of your official duties you worked to develop a paint to make DoD buildings invisible from the air. If you use only publicly available information, may you give a speech about the project to a scientific research organization and accept compensation for it?



Teaching, Speaking, and Writing (Cont.)

You may identify yourself by your official position in your personal teaching, speaking, or writing if:

- reference to your position is only one of several biographical details; and
- your position is given no more prominence than other significant biographical details.

Teaching, Speaking, and Writing (Cont.)

If identified by your official position in personal teaching, speaking, or writing that deals with an ongoing or announced DoD policy, program, or operation, you must make a *disclaimer* that the views are your own.



Part II – Your Personal Activities Membership

- You may be a member of a non-Federal entity when acting outside scope of your official duties.
- You may not serve as an officer, member of the board, or in a similar capacity if you are invited to serve because of your DoD position.
- Executive Schedule or a noncareer SES members have additional restrictions.

Conclusion

Recap

4 Basic Principles:

- Preferential treatment
- Misuse of public office
- Government resources
- Conflicts of interest



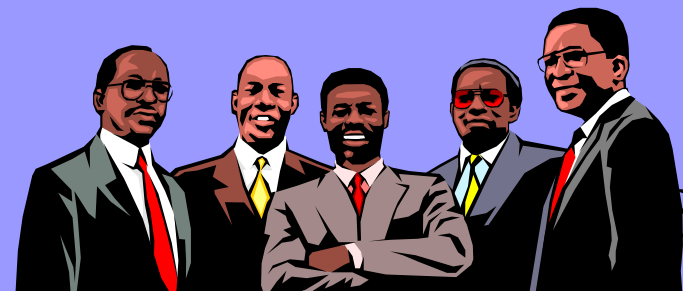
Conclusion

Recap



2 main areas:

- Part I - Your official duties for Government
- Part II - Your personal activities



Conclusion

Recap

No matter what the ethics issue may be, if you're not sure what to do, it's always a good idea to check with your ethics counselor in advance.

